Records and Information Management (RIM)

eRIM Rules, Jewels and Tools

IT Conference, Helena, MT 12/6/07

Times Have Changed

- eBusiness processes are replacing hardcopy business records. Electronic business records still require the fundamentals of records management, but in a technological (IT) environment:
    - creation, distribution and access controls;
    - storage, use and retention management;
    - interoperability and continuity relationships

What Is a Record

- ***2-6-101. Definitions.*** *(1) Writings are of two kinds:*
  (a) public; and
  (b) private.
  (2) Public writings are:
  (a) the written acts or records of the acts of the sovereign authority, of official bodies and tribunals, and of public officers, legislative, judicial, and executive, whether of this state, of the United States, of a sister state, or of a foreign country, except records that are constitutionally protected from disclosure;
  (b) public records, kept in this state, of private writings, including electronic mail, except as provided in 22-1-1103 and 22-3-807 and except for records that are constitutionally protected from disclosure.
  (3) Public writings are divided into four classes:
  (a) laws;
  (b) judicial records;
  (c) other official documents;
  (d) public records, kept in this state, of private writings, including electronic mail.
  (4) All other writings are private.

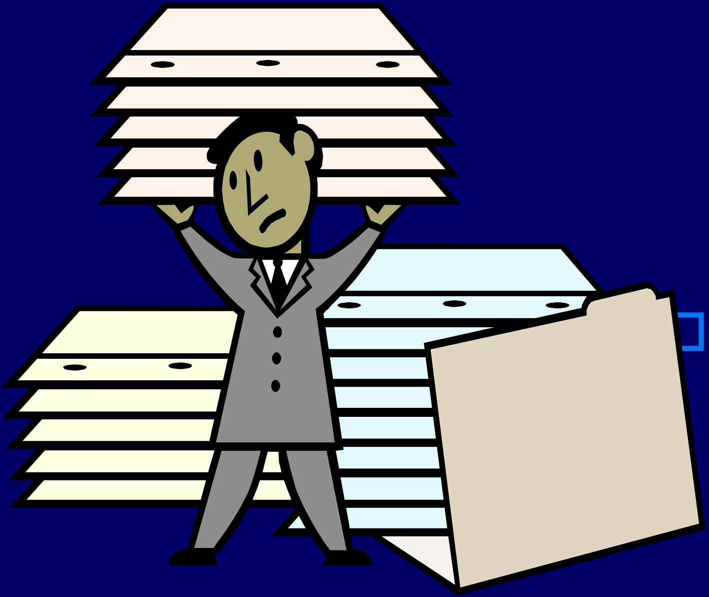
What Is a Record

- **2-6-202. Definitions.** As used in this part, the following definitions apply:
  (1) (a) "Public records" includes:
  (i) any paper, correspondence, form, book, photograph, microfilm, magnetic tape, computer storage media, map, drawing, or other document, including copies of the record required by law to be kept as part of the official record, regardless of physical form or characteristics, that:
  (A) has been made or received by a state agency to document the transaction of official business;
  (B) is a public writing of a state agency pursuant to 2-6-101(2)(a); and
  (C) is designated by the state records committee for retention pursuant to this part; and
  (ii) all other records or documents required by law to be filed with or kept by any agency of the state of Montana.
  (b) The term includes electronic mail sent or received in connection with the transaction of official business.
  (c) The term does not include any paper, correspondence, form, book, photograph, microfilm, magnetic tape, computer storage media, map, drawing, or other type of document that is for reference purposes only, a preliminary draft, a telephone messaging slip, a routing slip, part of a stock of publications or of preprinted forms, or a superseded publication.

What Is Information

- As defined in the DOA-ITSD Data Security Policy (draft)….
  - *Any information created, stored (in temporary or permanent form), filed, produced or reproduced, regardless of the form or media. Data may include but is not limited to personally identifying information, reports, files, folders, memoranda, statements, examinations, transcripts, images, communications……*

Every State Employee…”.

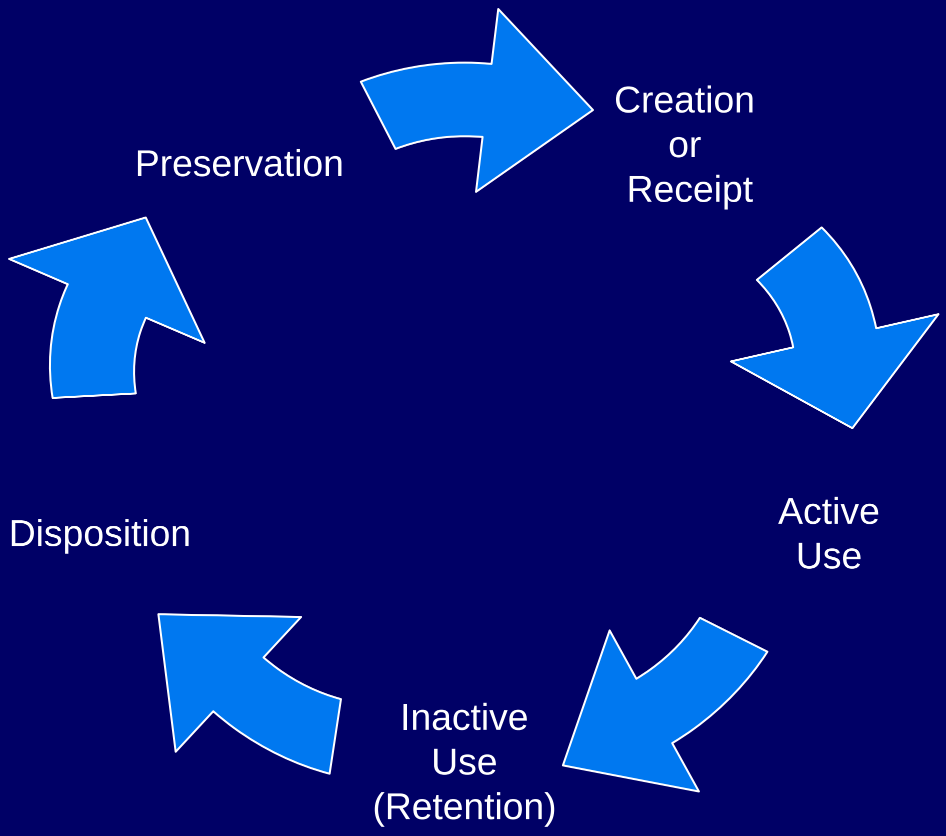


- Sometimes, at times or most times, 12,000 state employees create or receive (public) records, *in the course of business… (MCA 2-6-201)*.
- Commonly within one’s:
  - Outlook mail box
  - Drive (networked or otherwise).
  - Software application, program or system.

Record Assessments Help Determine Retentions

- ***Official Records*** have *administrative, financial, legal, historic* or *vital* values. These records must be kept, managed and properly disposed of, following retention schedules.
- ***Transitory Records*** have *short-term, operational* value. These records can be disposed without loss to the above official records (values).
- ***Non-Records*** are those that need no disposal approval; where there is no retention responsibility (i.e., courtesy copies, other entity's publications, routing slips, spam email, blank forms, etc.).

Lifecycle Management


Creation
or
Receipt
Active
Use
Inactive
Use
(Retention)
Disposition
Preservation

RIM Rules

- Structure the front and back end of files and data management based on record value or content. Not by age or size.

- Classify records pro-actively and align file structures in direct correlation to Retention Schedules:
  - MT State General Retention Schedules
  - Agency Specific Retention Schedules

- Apply disposition, actively, based on migration, deletion or preservation requirements.

Records and Information

- Word documents
- Spreadsheets
- Publications
- Emails
- Maps, Plans
- Permits
- Licenses
- Minutes
- Contracts
- Data Sets
- GIS Layers
- Web Pages
- Distribution Lists
- Back up Tapes
- Archive Tapes

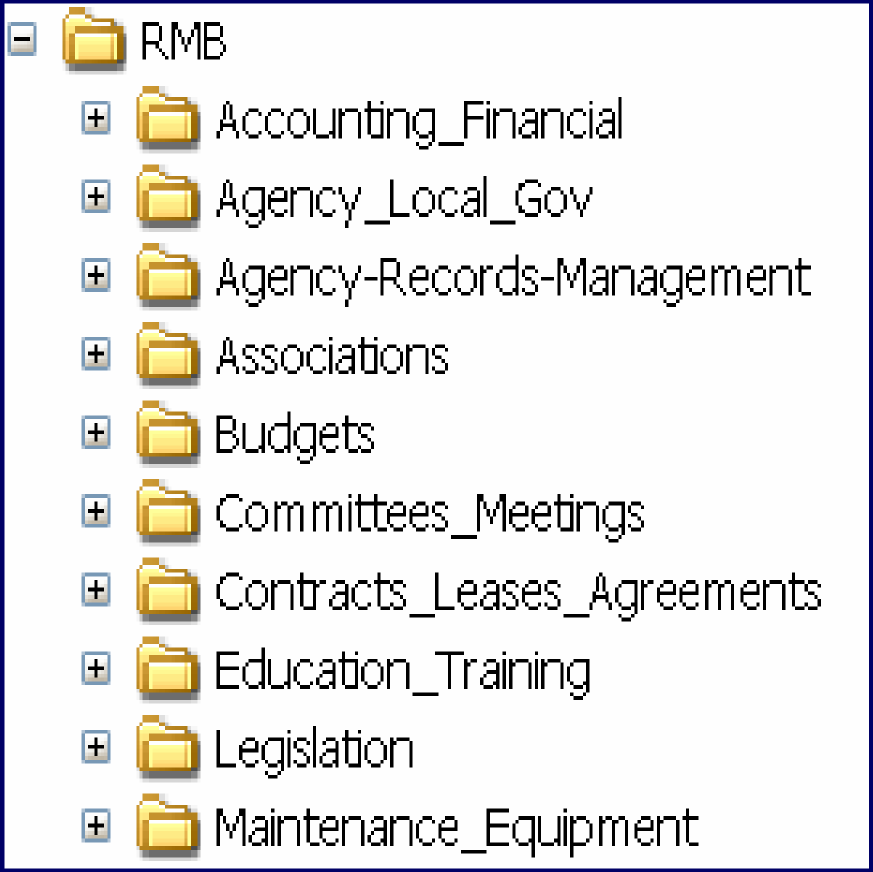
To Start

- Analyze/inventory business functions/processes.
- Survey users (stakeholders) to gather filing and retrieval needs. Ask about the miscellaneous.
- Group like functions, whereas the retention methods can be the same (record values).

The Rules

- Create filing schema(s) that match the records types (series), business processes and functions.
- Create filing schemas at the appropriate level, supporting the lifecycle and management.
- Create a filing schema that has user buy-in and require its use.
- Once established, document and train.

Benefits to Structuring Records Classifications by Series



- RMB
  - Accounting_Financial
  - Agency_Local_Gov
  - Agency-Records-Management
  - Associations
  - Budgets
  - Committees_Meetings
  - Contracts_Leases_Agreements
  - Education_Training
  - Legislation
  - Maintenance_Equipment

- Provides top-level separation of functions
- Provides “at a glance” understanding of file types
- Narrows search ability
- Standardizes filing amongst users
- Supports records mgmt, discovery, auditing, migration and preservation
- Links front and back ends of management

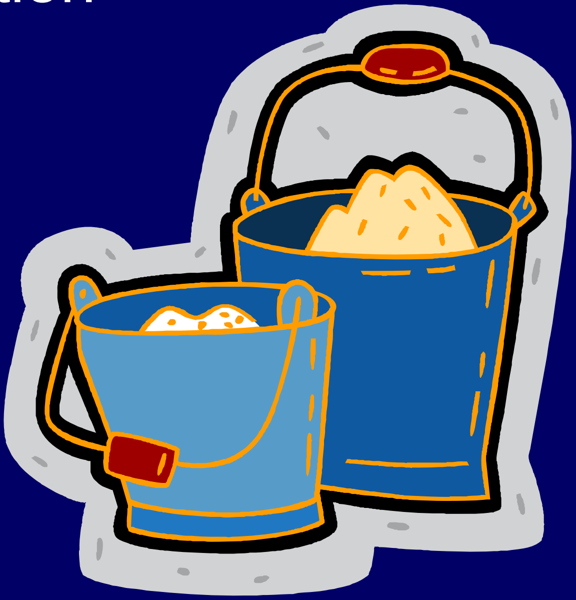
Benefits to Structuring Records Classifications by Functions

Defines main lines of business

Retention method applies to all records within that “bucket” (longest retention defaults)

Fewer classes for users (less is more)

- Administration
- Fiscal
- Legal
- Projects
- Environmental Management



Structuring Data – MDT Classifying Data Sets

MMSR0190	Negative Stockpile Report	Biweekly	V:\REPORTS\FY\BIWEEKLY	Delete All
MMSR0191	Stockpile Production/Usage Update	Biweekly	V:\REPORTS\FY\BIWEEKLY	Keep

The Following Tables are exported and archived. These files are labeled with the length of time to be retained.

1 Year

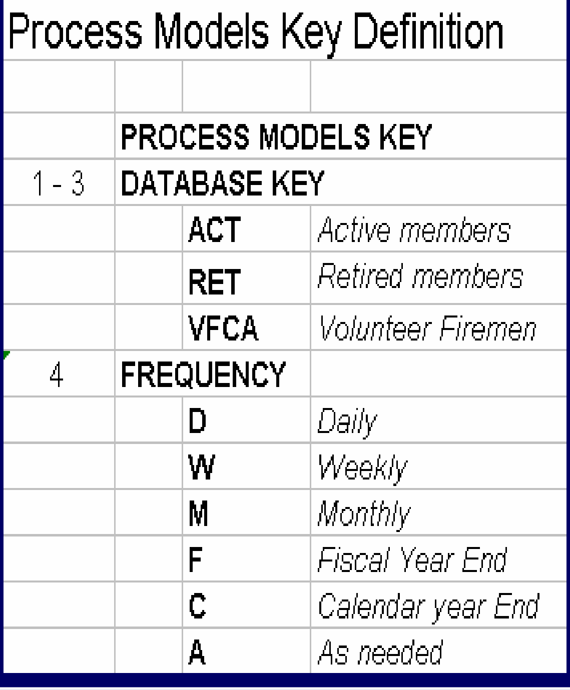
MMS_ACTIVITIES_PERFORMED	ACTIVITIES_PERFORMED_01
MMS_ACTIVITY_PER_MATERIALS	ACTIVITY_PER_MATERIAL_01

2 Years

MMS_PROCESSED_SUMMARY_MONTH	PSMY_02
MMS_PSMY_EQUIPS	PSMY_EQUIPS_02

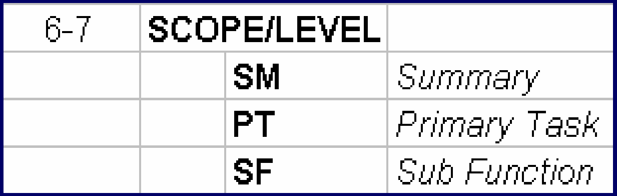
Structuring Data - MPERA Classifying Data Sets

- Application Structure - System defined, designed and implemented within workflow.

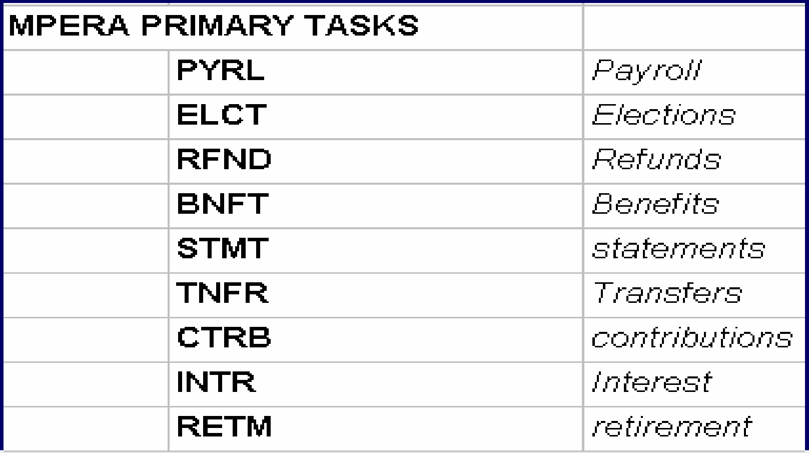


Process Models Key Definition

	PROCESS MODELS KEY		
1 - 3	**DATABASE KEY**		
		ACT	*Active members*
		RET	*Retired members*
		VFCA	*Volunteer Firemen*
4	**FREQUENCY**		
		D	*Daily*
		W	*Weekly*
		M	*Monthly*
		F	*Fiscal Year End*
		C	*Calendar year End*
		A	*As needed*



6-7	**SCOPE/LEVEL**		
		SM	*Summary*
		PT	*Primary Task*
		SF	*Sub Function*



MPERA PRIMARY TASKS		
	PYRL	*Payroll*
	ELCT	*Elections*
	RFND	*Refunds*
	BNFT	*Benefits*
	STMT	*statements*
	TNFR	*Transfers*
	CTRB	*contributions*
	INTR	*Interest*
	RETM	*retirement*

The Jewels

- Structuring should meet the needs of the business, encompass all records, in all media, to which the same retention methods are applied.
- By structuring our records and information, during the entire lifecycle, users of these assets have what they need, when they need it and how they need it:
  - Administration/Operations
  - Fiscal
  - Legal
  - Historic
  - Vital

Dedicated Server Space

- Within your filing schematic, include an electronic records center (ERC) directory.
- Request dedicated server space to serve as an ERC (centralize).
- Ensure document integrity and authenticity (controls)
- Learn to love an ERC. It removed the clutter and supports the management.

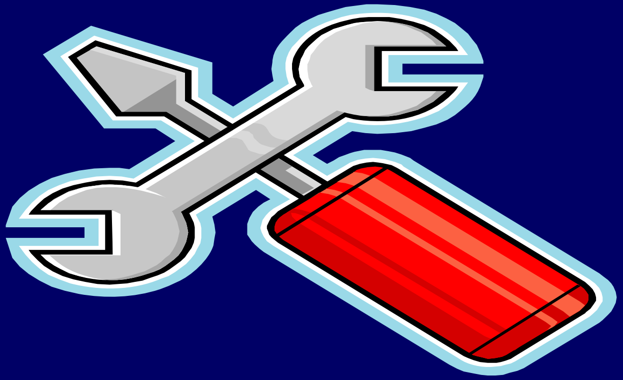
Systematic Control Matches Lifecycle

eInventory	Records and Data
eClassification	Series or Function
eAccess	Internal, External, Secured
eStorage	Servers, Tapes, CDs, Other
eRetention	Auto Deletion/Migration
ePreservation	Auto Migration/Archiving

These are the basics for a RIM
program, policy and procedures.

The Tools

- Desktop/Windows Explorer
- Records Management Applications (RMA)
- Content Management Software (ECM)
- Document Management Systems (DMS)



Technology is available to support collaboration, funding resources, sustainability, and accountability.

Responsibility of Management

- Align internal human resources, funding resources and (mid-tier) services to promote eRIM direction.
- Implement procedures and standards for the administrative, financial, legal, historic and vital management of the agency.
- Mandate compliance and training requirements of all employees, new and current.

ROI: The Benefits of Quality Record Management Programs

- **Higher quality and faster service to customers.**
- **Increased effectiveness to/for Management.**
- **Measurable increases in staff productivity.**
- **Substantial reductions in data and record volume.**
- **Record identification (vital, privacy/access, etc.).**
- **Improved and integrated systems through appropriate implementation and use of technology.**
- **Legal and statutory compliance.**
- **Improved “bottom line”.**

Resources

- MT Codes Annotated, Title 2, Part 6
- State of Montana Email Guidelines
  - http://www.sos.mt.gov/About_Office/Publications.asp
- DOD 5015.2 (RMA specifications)
  - http://www.dtic.mil/whs/directives/corres/pdf/501502std.pdf
- ANSI/ARMA, ANSI/AIIM
  - http://arma.org/
- International Standards Organization (ISO)
  - http://www.iso.org/iso/home.htm
- OASIS Standards Consortium
  - http://www.oasis-open.org/home/index.php
- eC3-National Electronic Commerce Coordinating Council
  - http://ec3.org/
- National Archives and Records Administration
  www.archives.gov
- Federal Enterprise Architecture
  - http://www.whitehouse.gov/omb/egov/a-2-EAModelsNEW2.html

Collaboration and Teamwork Make It Possible

Thank you!

- For further information or questions please contact me:

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